

FSA Modernization Program
United States Department of Education
Federal Student Aid



R 2.0 Incomplete Submissions Design

Task Order #116

Version 1.1

03/10/2004

Revision History

Date	Version	Description	Author
03/01/2004	1.0	Added "E-Mail Notification" functionality, as per R2.0 requirements.	Ben Lopez
3/10/2004	1.1	Added new School Group and Incomplete Letter text requirements created in CCB and R2.0 Design Meetings	Ben Lopez

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As-Is Incomplete Submissions Process

- After a submission of type Annual, Stub Audit, Closeout, Initial, or Merger/CIO is submitted, it is sent to QC for review.
- The QC module provides functionality to allow a QC user to record if a submission is complete or incomplete. If incomplete, the user has the ability to select why the submission is incomplete.
- For Annual submissions both the Financial Statement and Compliance must be marked as complete before the record is considered complete.
- Once a submission is marked complete, it proceeds from QC either to archive or for Case Resolution (based on existing system flags).

Annual Submission

- If QC marks either (or both) the Financial Statement or Compliance Audit for an Annual Submission incomplete, the system also displays a notification to the Institution that their submission is incomplete. A resubmit link is offered.

Non-Annual Submission (Stub Audit, Closeout, Initial, and Merger/CIO)

- If QC marks a Stub Audit incomplete, the whole submission is marked incomplete
- If QC marks a Closeout, Reinstatement, Initial or Merger/CIO incomplete, the submission is set to incomplete.
- When a non-annual submission is incomplete, the system:
 - Displays a notification to the Institution stating their submission is incomplete (NOTE - there is NO resubmit functionality offered).
 - Removes the incomplete record from case view/access.

School Group

- Once a Locator/Member of a School Group submits their portion of a submission, they receive a notification on their INS home page that their portion has been submitted
 - In the case of Member Schools, if any portion of the submission is Incomplete, only the Member school with the Incomplete portion receives a notice. The rest of the Members only receive a notification when their record has been marked complete

Incomplete Letter

- The Incomplete letter notifies the school to make their resubmission in 15 days.
- The Incomplete letter currently only references financial statements and compliance audits, along with a School's Fiscal Year End.
- A correspondence log entry is made when an incomplete letter is posted

To-Be Incomplete Submissions Process

E-Mail Notification

Annual Submissions:

- Any e-mail sent by the system will be carbon copied (CC'd) to the eZ-Audit mailbox
- A "first notice" e-mail notification will be sent to an Institution's President and FAA, informing them the Annual Submission is incomplete and that the Incomplete letter should be viewed in eZ-Audit. In addition, an e-mail notification will be sent to the contact e-mail addresses (both Financial Statement and Compliance Audit) provided with the submission on the Completeness Checklist.
- If an institution does not resubmit a submission marked Incomplete after 15 days, a "second notice" e-mail notification will be sent to the contact e-mail addresses (both Financial Statement and Compliance Audit) provided with the submission on the Completeness Checklist.
 - In addition, the follow-up e-mail notification will be sent to the Institution's President and FAA.
- If an institution does not resubmit a submission marked Incomplete after 30 days, a "final notice" e-mail notification will be sent to the contact e-mail addresses (both Financial Statement and Compliance Audit) provided with the submission on the Completeness Checklist.
 - In addition, the third follow-up e-mail notification will be sent to the Institution's President and FAA.
- The Co-Team Lead associated with Case Team responsible for the Institution will also be carbon copied (cc'd) on the third notice e-mail.
- The e-mail will direct the contact person to access the eZ-Audit system to review the submission and make the necessary updates before resubmitting. The e-mail will also advise the contact that this is the final notice, and failure to submit will be referred to the Case Management Team for appropriate action.
- In cases where the Incomplete submission originated from a Member School of an Unconsolidated School Group, follow-up e-mails will be sent not only to the Member School contact e-mail of record, but also to the Locator School Financial Statement contact e-mail address of record.

Stub Audits/Closeout

- Any e-mail sent by the system will be carbon copied (CC'd) to the eZ-Audit mailbox
- A "first notice" e-mail notification will be sent to an Institution's President and FAA, informing them the Stub Audit/Closeout Submission is incomplete and that the Incomplete letter should be viewed in eZ-Audit. In addition, an e-mail notification will be sent to the pertinent contact e-mail addresses (Financial Statement or Compliance Audit, depending on what information was submitted) provided with the submission on the Completeness Checklist.
- If an institution does not resubmit the Stub Audit/Closeout submission marked Incomplete after 15 days, a "second notice" e-mail notification will be sent to the pertinent contact e-mail

addresses (Financial Statement or Compliance Audit, depending on what information what submitted) provided with the submission on the Completeness Checklist.

- In addition, the follow-up e-mail notification will be sent to the Institution's President and FAA.
- If an institution does not resubmit a Stub Audit/Closeout submission marked Incomplete after 30 days, a "final notice" e-mail notification will be sent to the pertinent contact e-mail addresses (Financial Statement or Compliance Audit, depending on what information what submitted) provided with the submission on the Completeness Checklist.
- In addition, the third follow-up e-mail notification will be sent to the Institution's President and FAA.
- The Co-Team Lead associated with the Case Team responsible for the Institution will also be carbon copied (cc'd) on the third notice e-mail.
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- In cases where the Incomplete submission originated from a Member School of an Unconsolidated School Group, follow-up e-mails will be sent not only to the Member School contact e-mail of record, but also to the Locator School Financial Statement contact e-mail address of record.

Other Non-Annual Submissions (New Institution/Reinstatement/Merger CIO)

- Any e-mail sent by the system will be carbon copied (CC'd) to the eZ-Audit mailbox
- A "first notice" e-mail notification will be sent to an Institution's President and FAA, informing them the New Institution/Reinstatement/Merger CIO Submission is incomplete and that the Incomplete letter should be viewed in eZ-Audit. In addition, an e-mail notification will be sent to the pertinent contact e-mail addresses (Financial Statement or Compliance Audit, depending on what information what submitted) provided with the submission on the Completeness Checklist.
- If an institution does not resubmit the Non-Annual submission marked Incomplete after 15 days, a "second notice" e-mail notification will be sent to the pertinent contact e-mail addresses (Financial Statement or Compliance Audit, depending on what information what submitted) provided with the submission on the Completeness Checklist.
- If an institution does not resubmit a Non-Annual submission marked Incomplete after 30 days, a "final notice" e-mail notification will be sent to the pertinent contact e-mail addresses (Financial Statement or Compliance Audit, depending on what information what submitted) provided with the submission on the Completeness Checklist.
- The Co-Team Lead associated with the Case Team responsible for the Institution will also be carbon copied (cc'd) on the third notice e-mail. The e-mail will direct the contact person to access the eZ-Audit system to review the submission and make the necessary updates before resubmitting. The e-mail will also advise the contact that this is the final notice, and failure to submit will be referred to the Case Management Team for appropriate action.
- In cases where the Incomplete submission originated from a Member School of an Unconsolidated School Group, follow-up e-mails will be sent not only to the Member School contact e-mail of record, but also to the Locator School Financial Statement contact e-mail address of record.

School Group

- The system will display an “incomplete” notification on the INS home page to all schools in a School Group when any portion of a School Group submission is Incomplete
- The system will also display an Incomplete grid to all schools showing who has submitted and needs to resubmit for an incomplete school group submission.

Incomplete Letter

- The Incomplete Letter will now state that an Institution must resubmit within “15 *calendar* days,” instead of “15 days.”
- The Incomplete Letter will now reference “Submission Type,” “FYE (when appropriate, as in Annual Submissions),” and “Submit Date/Time” rather than simply “financial statements and/or compliance audit” and always referencing “FYE.”
- The correspondence log entry for an Incomplete Letter posting will now read “incomplete letter posted/first incomplete notification email sent.”